

City of Williamsburg

Facility name: Public Works and
Utilities Department

Person resp	Prepared by	Reviewed by	Approved by
EMS 1/20/2004	EMS 1/20/2004	EMS 4/12/2008	DGC 12/5/2006

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Revision no.

4.5.42 Internal Environmental Auditing (1St Party)

This is a printed copy of the original and will not be kept up-to-date.

Persons responsible:

Areas of application: Department of Puiblic Works and Utilities Shop Complex

Date of issue: 4/12/2004 **Effective until date:** 4/12/2009

Warning! The information in this document may be out of date and should be reviewed.

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1.0 Purpose

- 1.1 The purpose of this procedure is to define the planning and implementation of an environmental system internal audit and the follow up of audit related items of nonconformance by corrective and / or preventive actions associated with the City of Williamsburg Department of Public Works and Utilities.

2.0 Scope

- 2.1 This procedure is responsive to Element 4.5.4, Environmental Management System Audit, of the ISO 14001 1996 standard and covers operations of the Department of Public Works and Utilities.

3.0 Responsibilities

- 3.1 The EMS Team:
- 3.1.1 Coordinates the implementation of an Internal Environmental Management System audit on an annual basis, at a minimum. All elements of the EMS (or ISO 14001 1996 standard) will be included in the audit scope. The audit schedule will be based on the environmental importance of the activity concerned and the results of previous audits.
 - 3.1.2 Is responsible for appointing the Audit Team members, and providing the appropriate training necessary for internal auditing. In addition, the documentation from the audit will be maintained as records in the EMS Team files and in the GreenWare software using the worksheets from section 4.5.41, EMS Audit Program(s).
- 3.3 The Audit Team:
- 3.3.1 Upon completion of the audit, will review any findings with the Department of Public Works and Utilities' Management personnel from the division being audited, if warranted. They will propose corrective and preventive actions as appropriate and develop the necessary implementation schedules.
- 3.4 For each division or activity the audit team conducting the audits will not have an EMS Team member with responsibility for that division or activity being audited.

4.0 Definitions

- 4.1 Refer to 3.0 ISO 14001 1996 Related Definitions

5.0 Process

- 5.1 The Audit Team will be appointed by the EMS Team and can be comprised of any of the following: EMS Team member(s), individual(s) from significant division, member(s) appointed by the Upper Management at his/her discretion and/or possibly third party(ies).
- 5.1.1 The Audit Team members will have received internal auditor training. The Audit Team members will carry out audits and report the results to the EMS Team.

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- 5.2 The intention or notification to perform an internal environmental audit is coordinated and communicated by the EMS Team to the Department of Public Works and Utilities' affected divisions. This may be accomplished by use of the Internal Environmental Audit Notification Form 4.5.43F-01 in GreenWare and can be sent electronically as an e-mail attachment.
- 5.3 The Department of Public Works and Utilities' division audited against the Environmental Management System Requirements will include but is not limited to, the following, as applicable:
- 5.3.1 Department of Public Works and Utilities Shop Complex
- 5.4 Based on the Significant Aspects and areas of environmental importance, an audit of the Environmental Management System will be conducted at least once per year. The worksheets in section 4.5.41 EMS Audit Worksheets in GreenWare will be used to document divisions of the Department of Public Works and Utilities that have been audited against the elements of an EMS, (or the ISO 14001 1996 standard). Areas of significant concern from previous audits (e.g. major nonconformance findings) will be documented and routinely audited.
- 5.4.1 If trends continue to occur in specific areas, then the frequency of auditing will be increased for those areas within a division(s), as determined by the EMS Team.
- 5.5 Prior to the initiation of the audit, the Audit Team will offer to conduct a brief opening meeting with individuals from the affected Department of Public Works and Utilities' divisions. The agenda may include:
- 5.5.1 Introduction of the Audit team
- 5.5.2 Review of audit objectives and scope
- 5.5.3 Review of audit frequency
- 5.5.4 Confirm time and location of debriefing(s)
- 5.5.5 Discussion of final audit report submittal
- 5.5.6 Questions and answers
- 5.6 The Audit Team is provided an Internal Environmental Audit Checklist EP 4.5.43F-02 in GreenWare and worksheets located in section 4.5.41 EMS Audit Worksheets that will assist in the basis of the audit. These checklists and worksheets will be relevant to the Department of Public Works and Utilities' operations. The Audit Team may review and amend the audit questions as necessary. The Audit Team may use other types of appropriate auditing documentation.
- 5.7 During the audit, the Audit Team will record audit observations on the checklists, worksheets and other designated working papers only. These documents will be returned at the end of the audit and become records of audit observations and the objective evidence that will provide enough information to document the essence of the activities, products or services reviewed.

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- 5.8 Non-Conformance findings requiring corrective action are documented on the Corrective Action Request (CAR) forms 4.5.23F-01 in GreenWare. The Corrective Action Requests (CARs) will be compiled into a list and documented on the Internal Audit Corrective Action Request Log 4.5.23F-02 in GreenWare. These forms will be used, as appropriate, following the Corrective and Preventive Action Procedure 4.5.22 in GreenWare.
- 5.8.1 The Audit Team will evaluate Corrective Actions Requests (CARs) for completion and effectiveness. The timing of the evaluation will reflect the significance of the issue.
- 5.9 Observations that are documented on checklists and / or other appropriate documentation; however, will not generate a Corrective Action Request (CAR).
- 5.10 The Audit Team will present the relevant Corrective Action Requests (CARs) to the Department of Public Works and Utilities management personnel responsible for the area of the non-conformance. A copy of the documents will be kept and forwarded to the EMS Team with the checklists and other appropriate documentation at the end of the audit.
- 5.10.1 All non-conformance items documented by the Audit Team during the audit are to receive timely and thorough corrective and preventive actions, as appropriate by the management of the area responsible, per Corrective and Preventive Action Procedure 4.5.22-1 in GreenWare.
- 5.11 Upon the close of the audit, a member of the Audit Team will conduct a closing meeting to present a verbal summary of audit findings to the relevant personnel. This meeting's agenda may include:
- 5.11.1 Brief review of audit objective and scope
- 5.11.2 Summary of nonconformance findings
- 5.11.3 Discussion of the program to address nonconformance
- 5.11.4 Confirm milestone dates for corrective action
- 5.11.5 Discussion of final audit report submittal
- 5.11.6 Questions and answers
- 5.12 After the closing meeting the EMS Team will assume responsibilities for the audit findings ie. Corrective Action Requests (CARs)
- 5.13 Results of the audits are formally communicated to the Department of Public Works and Utilities' Management on an annual basis during the Management Review Meeting as per 4.6.12-1 Management Review Procedure.

6.0 Referencens / Related Documents

- 6.1 4.5.43F-01 Internal Environmental Audit Notification and Schedule
- 6.2 4.5.43F-02 Internal Environmental Audit Checklist
- 6.3 4.5.23F-01 Corrective Action Request(CAR)
- 6.4 4.5.23F-02 Internal Audit Corrective Action Request Log
- 6.5 4.5.41 EMS Team Audit Worksheets

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- 6.6 4.5.22 Corrective and Preventive Action Procedures
- 6.7 4.6.12 Management Review Procedure